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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Yasusi Kanada et al.

Application No.: 09/842,130

Filing Date: April 26, 2001

Title: Method and System for Controlling a Policy-Based Network

Confirmation No.:

Examiner: UNKNOWN

Group Art Unit: UNK

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ( ) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- (X) under 37 CFR 1.97 (c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
(X) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e), and  
( ) a petition under 37 CFR 1.97(d)(2), and  
( ) a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$180.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

(X) I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231. Date of Deposit: Dec. 2, 2002

OR

( ) I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number \_\_\_\_\_ on \_\_\_\_\_

Number of pages:

Typed Name: Morley C. Tobey, Jr.

Signature: Morley C. Tobey, Jr.

Respectfully submitted,

Yasusi Kanada et al.

By

Morley C. Tobey, Jr.

Attorney/Agent for Applicant(s)

Reg. No. 43,955

Date: Dec. 2, 2002

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## PATENT APPLICATION

Sheet 1 of 2

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10012257-1

APPLICATION NO.

09/842,130

CONFIRMATION NO.

APPLICANT

Yasusi Kanada et al.

FILING DATE

April 26, 2001

GROUP

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## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	5,812,819	Sept. 22, 1998	Rodwin et al.	
	1B	6,233,686	May 15, 2001	Zenehelsky et al.	
	1C	6,105,027	Aug. 15, 2000	Schneider et al.	
	1D	6,021,438	Feb. 01, 2000	Duvvoori et al.	
	1E	6,041,347	March 21, 2000	Harsham et al.	
	1F	6,064,656	May 16, 2000	Angal et al.	
	1G	6,167,445	Dec. 26, 2000	Gai et al.	
	1H	6,158,010	Dec. 05, 2000	Moriconi et al.	
	1I	5,555,346	Sept. 10, 1996	Gross et al.	
	1J	6,237,036	May 22, 2001	Ueno et al.	
	1K	5,889,953	May 30, 1999	Thebaut et al.	

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L	WO 96/2134	Nov.07, 1996	Olli Finni		
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

EXAMINER

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## PATENT APPLICATION

Sheet 2 of 2

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EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
2A		5,870,561	Feb. 09, 1999	Jarvis et al.	
2B		09/382,176	Aug. 24, 1999	Fredrick Roeling	
2C		09/382,171	Aug. 24, 1999	Hugh F. Mahon et al.	
2D		09/382,172	Aug. 24, 1999	Hugh F. Mahon et al.	
2E		09/382,059	Aug. 24, 1999	Hugh F. Mahon et al.	
2F		09/382,175	Aug. 24, 1999	Hugh F. Mahon et al.	
2G		09/479,206	Jan. 07, 2000	Jason Goldman et al.	
2H		09/479,205	Jan. 07, 2000	Jason Goldman et al.	

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		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					X
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	
	1R	
	1S	

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